

# **Request for Proposals 09-11 SCOMIS Data Exchange**

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## Request for Proposals Information

- Project Title:** SCOMIS Data Exchange
- Procurement Website:** <http://www.courts.wa.gov/procure/>
- Estimated Contract Period:** March 23, 2009 through June 30, 2009  
Amendments extending the period of performance, if any, shall be at the sole discretion of the AOC.
- Proposal Due Date:** All Proposals, whether mailed or hand-delivered, must arrive by the date/time listed in the RFP Schedule below. Faxed bids WILL NOT be accepted.
- RFP Coordinator:** John E. Bell, RFP Coordinator  
Administrative Office of the Courts  
1206 Quince Street SE  
P.O. Box 41170  
Olympia, WA 98504-1170  
Phone: (360) 704-4029  
E-Mail: John.Bell@courts.wa.gov
- Submit Proposal To:** RFP Coordinator

### I. RFP Procurement Schedule

Item	Action	Date
1.	Issue RFP	2/17/09
2.	Vendors' Initial Written Questions by 5:00 p.m. Pacific Standard Time	2/24/09
3.	Issue Response to initial Written Questions	2/25/09
4.	Proposal Submission Due by 4:00 p.m. Pacific Standard Time	3/6/09
5.	Proposal Evaluation (Phases 1 and 2)	3/12/09
6.	Notify Apparently Successful Vendor	3/13/09
7.	Notify Unsuccessful Vendors	3/13/09
8.	Begin Contract Negotiations	3/16/09
9.	Bidders' Requests for Debriefing Due by 5:00 p.m. Pacific Daylight Time	3/18/09
10.	Contract Execution	3/23/09

## II. Executive Summary

### Terminology

AOC – Administrative Office of the Courts

Data exchange - a process that makes data available in electronic form from one computer server to another so that an automated system can process it

JIS – Judicial Information System

NIEM – National Information Exchange Model – a set of nationally acknowledged XML standards

SCOMIS – Superior Court Management Information System

XML – Extensible Markup Language – method of putting identifier tags around data elements when exchanging data

The AOC is soliciting Proposals from qualified Vendors to provide programming services that will implement multiple data exchanges related to the SCOMIS data.

Objectives of data exchanges for Washington State courts include:

- Enable the updating of data in JIS from local systems. These JIS updates can originate from local case management systems, document imaging systems, and other court owned systems.
- Return data in response to queries from authorized business partners.

## III. Background

### A. Washington Courts Profile

The Washington Courts operate in a decentralized, non-unified court environment. While all of the courts operate within the same statutory framework and under the same general court rules, there are degrees of variation in the level and types of services provided, the administrative procedures and practices, and the division of labor and responsibilities among the various local justice system agencies.

For more information on the Washington Courts, go to [www.courts.wa.gov](http://www.courts.wa.gov).

### B. AOC Profile

The Administrative Office of the Courts (AOC) is a department of the Washington State Supreme Court. Established by state statute in 1957, the mission of the AOC is to advance the efficient and effective operation of the Washington State judicial system.

### C. SCOMIS Data Exchange Profile

Exchanges involve data moving from the AOC to other destinations and data coming into the AOC from an external source.

The goal of Data Exchange is the enablement of real time data sharing among courts, criminal justice partner agencies, and the public.

The ability to exchange data electronically will enhance judicial operations and reduce costs by:

- By eliminating redundant data entry.
- Sharing data among courts to enable better decisions.
- Allowing organizations to streamline processes that are people, paper, and time intensive, resulting in more efficient operations.
- Improving data quality that would improve efficiency and reduce errors.
- Reducing organizational liability by having timely and accurate data during key decision making processes.

An Incoming data exchange is where a court is sending data to SCOMIS/JIS to have that data updated in the SCOMIS/JIS database. Courts will be able to provide XML packaged data and AOC will be able to process that data into the statewide databases. All incoming data must have business rules applied.

An outgoing data exchange is triggered by a request from an authorized entity. AOC will deliver SCOMIS related case management data in XML packages for customers to consume. Outgoing data may utilize the Enterprise Data Warehouse for some exchanges. The Warehouse will be appropriate when the data can be 24 hours old upon retrieval.

For all exchanges: Information regarding how to set up exchanges, the parameters and data involved in the exchanges, etc. will be available from a web site called a portal. This portal will instruct interested parties regarding what needs to be set up for them to exchange data. In general, the process of getting set up to utilize and exchange data will be done with very little AOC involvement.

The user interface for this project is entirely electronic (there is nothing visible). The interface consists of the XML data schema that AOC will define and require in order to exchange data. AOC's defined standards regarding use of schemas, web services, etc. will apply to exchanges going to and coming from AOC. Any schemas that are designed will conform to the National Information Exchange Model (NIEM) standards.

Each entity involved in exchanging data with the JIS will have to build their end of the exchange – either send or receive capability. AOC will build the exchange capability with SCOMIS/JIS for both incoming (update) and outgoing data.

A single RACF Id will be used for authentication by all data exchanges. A single application user id will be used for each court for update/query purposes. The

entity initiating the exchange will be responsible for applying appropriate role based security to the request.

The AOC is establishing its infrastructure to support the rapid construction of data exchanges. Currently, this infrastructure calls for the following basic steps to complete an exchange that will update data in JIS:

- XML package created and sent to BizTalk (URL) by sender;
- XML package received by BizTalk and routed to a service;
- The service makes sure business rules are applied to the incoming data. Some of the technologies available for this step are described in Section V – METHODS;
- Once the data is processed in SCOMIS/JIS, AOC creates an XML package to be sent as a functional response informing the sender of the status of their exchange.

For exchanges that send data from JIS to a recipient:

- The recipient must send a request with the correct parameters to the AOC BizTalk URL;
- BizTalk calls the appropriate services;
- AOC services execute their associated SQL calls to the database to retrieve the requested data;
- AOC creates the appropriate XML package and sends the package to BizTalk for distribution to the recipient.

The data exchanges identified in the attached Statement of Work will be built in layers (a model/view/controller approach):

- The lowest level will consist of modules that apply business rules to the data and make updates in the database
- The next layer is more of a traffic controller. This layer controls when the lower layer gets called. For example, case filing involves invoking multiple services to apply the appropriate business rules to all the incoming data.

## **IV. Minimum Qualifications**

To be eligible for an award, Vendors must first meet the minimum qualifications listed below:

1. Three or more successful data exchange implementations. Describe the details and size of those exchanges.
2. Three or more applications built using BizTalk 2006 R2. Describe the orchestrations that were built.
3. Commitment to provide full-time on-site staff for the full life of the project.
4. Be compliant with the Washington statutes regarding contracting with current or former state employees pursuant to Chapter 42.52 of the Revised Code of Washington (RCW).

## V. Procurement Goals

The AOC is seeking services to implement data exchanges. These exchanges are for receiving data to be updated in SCOMIS/JIS and for sending data from SCOMIS/JIS to authorized business partners.

### Data Exchange Goals

- Create services that will complete the work outlined in Section VII - Deliverables.
- Create services that will process incoming data exchanges using
  - host screen scraping/pasting processes that will navigate to the appropriate SCOMIS and JIS screens for purposes of updating SCOMIS and JIS data.
  - OR
  - Services that apply all the business rules and perform necessary database updates.
  - OR
  - Another method recommended by the vendor.
- Create services that will:
  - process database requests for outgoing data;
  - package that data in XML; and,
  - send the data to the requestor.

### RFP Response Requirement:

Any vendor that intends to respond to this RFP will need to respond to the RFP Coordinator to request a copy of the source code and access to the user manuals associated with the SCOMIS and JIS applications. These documents are being made available for the purpose of helping vendors respond more accurately to this RFP. We expect these documents will give vendors the ability to estimate the complexity and effort associated with replicating the business rules in a service. The vendor will be required to sign a non-disclosure agreement related to the source code.

The SCOMIS source code file contains two text files that cross-reference screen and command names to program names. Screen and command names are identified both in the data exchange deliverables section of this document and in the user manuals.

### RFP Response Requirement:

For each data exchange:

- Identify which of the below method(s), or vendor recommended method, will be used to build the exchanges;
- Provide justification as to why the particular method(s) have been chosen;
  - How does this method support each of the considerations listed below?
- Identify which of the data exchanges can be completed by June 30, 2009.

- Identify the cost of building each exchange.

METHODS – The AOC has reviewed several possible methods for applying business rules and updates to incoming data exchanges – in order of preference:

- Reuse – this method assumes that modules already exist for applying business rules and updates. These modules are readily converted to a callable service with little to no modifications. This method assumes a high degree of accuracy when built. While there are not many of these modules within the SCOMIS and JIS systems, they should be used whenever they are available.
- Refactor – this method requires the creation of a new service that houses the business rules that are currently tightly coupled with the SCOMIS/JIS screens. The existing code modules would be rewritten to separate (de-couple) the business logic from the screens allowing the new de-coupled system to also call the newly created service. This method is very much a service enablement approach to modernizing our application design. This is the general direction we expect to move in for all our future application efforts.
- Replicate - this method requires the creation of a new service that houses the business rules that are currently tightly coupled with the SCOMIS/JIS screens. No effort would be made to de-couple the existing screens from their business rules. For some finite period of time, we would end up with two systems to maintain – the new business rule services and the existing SCOMIS/JIS applications. While less time would be required to support data exchanges, additional maintenance costs are a factor.
- Screen Interaction (“scraping/pasting”) – this method requires the use of tools to “run” the existing SCOMIS/JIS screens and copy data from or paste data into fields on the screens. For simple screen processes, this method can be a fairly quick and inexpensive way to develop the process of applying business rules to incoming data exchanges. This solution is not a long term goal for AOC and will be considered temporary. AOC currently uses the Host Access Transformation Services (HATS) tool for this method.

CONSIDERATIONS – A variety of considerations need to be taken into account for each data exchange that is to be built:

- Scope – duplicate data entry is a current cost for courts that have their own system and must also enter required data into the courts’ statewide database. The exchanges identified in the Deliverables section of this document comprise the duplicate data entry efforts that currently occur. Implementing these exchanges so the duplicate data entry can be eliminated is a high priority. The scope of this project includes implementing as many of these exchanges as possible.
- Time – this project will end June 30, 2009.

- Cost – a dollar amount has not been specified for this project.
  
- Risk – a variety of risk topics should be addressed, including but not limited to:
  - Risk of completing all the identified exchanges
  - Risk of accurate business rules when developed
  - Risk of AOC's ability to support the development effort
  - Risk of AOC's ability to support the maintenance effort
  
- Future technical strategic plan alignment – while a specific plan has not yet been adopted, there is a high likelihood that AOC will move toward a fully SOA compliant architecture.
  
- Maintenance – (see the bullet regarding maintenance effort in the risk list above) AOC is highly sensitive to increasing the number of platforms, modules, technologies, etc. that need to be maintained. Desirable approaches will limit as much as possible any increase in the number of items that need to be maintained.
  
- Staff impact/involvement – (see the bullet regarding development effort in the risk list above) Any development effort that can be accomplished with minimal AOC staff involvement is desirable.

## **VI. Project Scope**

This project is intended to create the data exchanges necessary to:

- file and maintain required SCOMIS case management data;
- add, update and search for person data; and,
- return person and case data in response to queries.

Required SCOMIS case management data is the minimum data needed for filing a case in SCOMIS to make the case available in the statewide courts' database. While SCOMIS allows for entry of additional data that is used for managing cases, that data will not be part of the initial data exchange requirements.

This project has been broken into multiple mini-projects. Each of these mini-projects contains multiple data exchanges. Each of these mini-projects is represented by one of the twenty-two deliverables in section VII.B – Deliverable #2 – Data exchanges.

The architecture and constructs identified to be used in building services will ultimately be discussed and agreed to with our Enterprise Architect and our Solutions Architect.

## VII. Deliverables

### A. Deliverable #1 – Project Schedule

**Deliverable 1.1.** Within two weeks of contract execution, the vendor will provide a completed Project Charter using the AOC provided template.

**Deliverable 1.2.** Within two weeks of contract execution, the vendor will provide a project plan that includes typical Project Management Institute content, including but not limited to: Communications Plan, Risk Register.

**Deliverable 1.3.** Within two weeks of contract execution, the Vendor will provide a detailed project schedule.

### B. Deliverable #2 – Data Exchanges

Each of the data exchanges that has been defined corresponds to an existing screen. The existing screens are very tightly coupled with the associated business rules.

For each incoming data exchange that is created:

- Build a controller service that receives the incoming request and calls the appropriate edit and update services. The incoming parameters will all get passed to the update service.
- Build a service that contains the business rules and update processes that are currently coupled with the corresponding screen.
- OR
- Build a screen navigation process using HATS that pastes the incoming data into the appropriate SCOMIS/JIS screen.
- Build an appropriate response message to be sent back to the originator of the incoming message.

For each outgoing exchange that is created:

- Build a service that extracts the required data
- Build the XML package with the requested data and send it to the requestor.

For each exchange the vendor will:

- Create test scripts with testers that will be used in final testing;
- Use a business rule to direct processing based upon message type;
- Provide logging of incoming and outgoing messages;
- Provide logging of error conditions;

- Mark the message complete in the BizTalk SQL database;
- Use appropriate error handling throughout the process;
- Conduct in house testing;
- Conduct user acceptance testing.

**Deliverable 2.1. Person Search Prototype and Person Search Production**

**Business Description:** the person search finds a unique, pre-identified person for re-use on another case.

An incoming exchange in this instance will be Person identifiers to be used in the search. The outgoing portion of the exchange will be the list of names that meet the search criteria.

- At least one personal identifier, as well as a search type, phonetic weighted or alpha weighted, must be entered. The personal identifiers are:
  - Person Name
  - Juvenile Number
  - Drivers license/state
  - Washington State ID
  - DOC Number
- The return exchange will be a list of "IN" names (limited number?) where each name meets the person identifier selection criteria. A partial set of person data will be supplied with each name to help identify which name is correct.
- Sex and Date of Birth are used to weight the names in the list so that the most likely matches appear higher in the list.
- JIS Screen Interface: None. Existing search service.

<b>Incoming data</b>	<b>Outgoing data</b>
Search Type (Phonetic or Alpha)	For each name in the list:
	• Person Type (default "IN")
Person Name	• Person Surname
Juvenile Number	• Person Given Name
Drivers License Number/State	• Person Middle Name
Washington State ID	• Date of Birth
DOC Number	• Address
	• Address Last Updated Date
Date of Birth	• City
Sex	• State
	• Zip code
	• County

	• Country
	• Home Phone
	• Work Phone
	• Race
	• Sex
	• Date of Death
	• Name Code ("IN" number)
	• Driver's License #
	• Driver's License State
	• Driver's License Expiration Date
	• Washington State ID
	• DOC Number
	• Juvenile Number
	• Height
	• Weight
	• Eye Color
	• Hair Color
	• FBI Number
	• Employer Name
	• Interpreter Code
	• Scars, marks, tattoos
	• The above data for all aliases

Deliverable 2.2. DOL Abstract of Driving Record (ADR) Access

Business description: If a matching person record does not exist in JIS for a case litigant or order participant, then DOL ADR is consulted to validate person information before adding a name to the JIS person database. If a DOL source name meets the matching criteria in the Person Business Rules, the DOL name record is used and imported to JIS.

- One of the following must be supplied:
  - Name and Date of Birth  
OR
  - Washington Driver's License Number
- The service will then initiate a retrieval of data from the DOL service to return a full ADR.
- JIS Screen interface: JIS DOL Link Screen (DOL command), or return data from the DOL service.

Incoming data	Outgoing data
First 5 characters of Last Name	For the name returned by DOL:
First character of First Name	• Person Name

First character of Middle Initial	• Driver's License Data
Date of Birth	• Date of Birth
Washington State Driver's License #	• Address
	• Sex
	• Eye Color
	• Height
	• Weight

Deliverable 2.3. Person Update, Person Add

o Person Add

Business description: the creation of a unique person record for each individual named as a case litigant

- The exchange will add the Person, and. the IN number will be returned to the requester.
- Screen Interface: JIS Individual Information (PERA) screen.

Incoming data	Outgoing data
Person Type (default "IN")	Add = successful or failure
Person Surname	New "IN" number
Person Given Name	
Person Middle Name	
Address	
City	
State	
Zip code	
County	
Country	
Home Phone	
Work Phone	
Race	
Sex	
Date of Birth	
Date of Death	
Driver's License Number/State	
Driver's License Expiration Date	
Washington State ID	
Height	
Weight	
Eye Color	
Hair Color	
FBI Number	

Employer Name	
Interpreter Code	
Scars, marks, tattoos	

o Person Update

Business description: modification to a unique person record with current or new information.

- An "IN" number must be supplied.
- Only the data needing to be updated needs to be included. All data supplied will be updated in JIS.
- Upon completion of the update, a success/fail indicator will be returned to the requester.
- Screen Interface: JIS Individual Information (PER) screen

Incoming data	Outgoing data
Person Identifier ("IN" number)	Update = success or failure
Person Surname	
Person Given Name	
Person Middle Name	
Address	
City	
State	
Zip code	
County	
Country	
Home Phone	
Work Phone	
Race	
Sex	
Date of Birth	
Date of Death	
Driver's License Number/State	
Driver's License Expiration Date	
Washington State ID Number	
Height	
Weight	
Eye Color	
Hair Color	
FBI Number	
Employer Name	
Interpreter Code	
Scars, marks, tattoos	

- Add or Change Alias Relationship between identified persons

Business description: an Alias name is added in the JIS Person Database when an individual is also known as (AKA) or uses a name different from a JIS True Name. Multiple Alias names may be associated with one True Name. An Alias name is generally different from the True Name and other Alias names recorded on JIS for the same person.

- This exchange is used to:
  - Add an alias relationship
  - Change start date, end date for the alias relationship, to change alias type
  - Delete an alias relationship
- A person record for the true name person **and** a person record for the alias name person must already exist.
- The “IN” numbers of the true name person and for the alias person must be supplied. The exchange will update the alias relationship with the data provided, or delete the alias relationship.
- DOC# and SID# can be on a True Name person only. If the alias person has this data, the JIS screen will move it to the True Name person if that person record does not already have this data.
- Screen Interface:
  - JIS Screen: AKA/DBA (AKA)

Incoming data	Outgoing data
Alias Update Type Code (Add, Change, Delete)	Update = successful or failure
Person Identifier for the True Name Person	
Person Identifier for the Alias Person	
Alias Type Code (AKA or DBA)	
Start Date	
End Date	

Deliverable 2.4. Criminal and Juvenile Offender Case Filing with identified person (“IN” person)

Business description: Satisfies RCW requirements to track people/participants as well-identified and link them to criminal and juvenile offender cases and order history.

- The JIS Superior Court Case Add (SCCA) screen applies edits to ensure that only case types 1 and 8 are filed using this exchange.

- The filing information, plus the identifier information for a person that already exists in the database must be supplied. The exchange will file the case and associate the identified person with the case.
- Screen Interface:
  - JIS Screens: Superior Court Case Add (SCCA), Case Participant Add (CSPA), Family Relationship Case (FRC)
  - SCOMIS Screens: Verify Basic, Verify Name, Verify Charge, Verify Docket

Incoming data	Outgoing data
Court	Add = successful or failure
Case Number	
Defendant Person Identifier	
Title	
Date Filed	
CLJ Appeal Flag (case type 1)	
Case Notes	
Additional parties (0-9999):	
• Party Code	
• Person Identifier (if victim)	
• Person Name (if not identified person)	
• Person Address (if not identified person)	
• Family Relationships between parties	
Attorneys per party 0-9999:	
• Attorney Bar Number	
Charges (at least 1):	
• Information Text	
• Count	
• RCW number	
• DV flag	
• Date of alleged Violation	
• Process Control Number (PCN)	
Docket Entries (0-n):	
• Docket Date	
• Docket Code	
• Secondary Text	
• Sub-Number	
• Sub-Dockets per Docket Entry (0-7):	
○ Sub-Docket Code	
○ Sub-Docket Text	

○ Secondary Text	
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Deliverable 2.5. Civil Case Filing (case types 2,3,4,5,6,7) with identified person (“IN” person)

Business description: satisfies RCW and Person Business Rule requirements to track people/participants as well-identified and link them to defined case types and causes that must be filed in JIS, as well as their order history.

- The JIS Civil Case Filing (CIVA) screen applies case type and cause code edits to ensure that the case should be filed with this exchange.
- The filing information, plus the identifier information for a person that already exists in the database must be supplied. The exchange will file the case and associate the identified person with the case.
- Screen Interface:
  - JIS Screens: Civil Case Filing (CIVA), Civil Case Filing Update (CIV), Family Relationship Case (FRC)
  - SCOMIS Screens: Verify Basic, Verify Name, Verify Docket

Incoming data	Outgoing data
Court	Add = successful or failure
Case Number	
Cause Code	
Title	
Date Filed	
Domestic Violence Flag	
Consolidation Text (0-5 case numbers)	
Case Notes	
Participants (0-9999):	
• Party Code	
• Person Identifier (if "IN" person)	
• Person Name (if not identified person)	
• Person Address (if not identified person)	
• Family Relationships between parties	
Attorneys per party 0-9999:	
• Attorney Bar Number	
Docket Entries (0-n):	
• Docket Date	
• Docket Code	
• Secondary Text	
• Sub-Number	

• Sub-Dockets per Docket Entry (0-7):	
○ Sub-Docket Code	
○ Sub-Docket Text	
○ Secondary Text	

Deliverable 2.6. Civil (case types 2,3,4,5,6,7) Case Filing without an identified person (SCOMIS only)

Business description: causes of action which do not require well-identified persons/participants or order history.

- The SCOMIS Add Case applies case type and cause code edits to ensure that the case should be filed with this exchange.
- The filing information and the person information of the participants must be supplied. The exchange will file the case, and add person information for parties associated with the case.
- The person identifiers
- Screen Interface:
  - SCOMIS Screens: Add Basic, Add Name, Add Docket.

Incoming data	Outgoing data
Court	Add = successful or failure
Case Number	
Cause Code	
Title	
Date Filed	
Consolidation Text (0-5 case numbers)	
Case Notes	
Participants (0-9999):	
• Party Code	
• Person Name	
• Pro Se Address	
Attorneys per participant 0-9999:	
• Attorney Bar Number	
Dockets (unlimited)	
• Docket Date	
• Docket Code	
• Secondary Text	
• Sub-Number	
• Sub-Dockets per Docket Entry (0-7):	
○ Sub-Docket Code	

○ Sub-Docket Text	
○ Secondary Text	

Deliverable 2.7. Case Query

Business description: report created in SCOMIS which shows any of several combinations of case data.

- The case identifier information must be supplied.
- The case data returned is based on the options specified.
  - Specific participant.
  - Specific docket(s).
  - All participants (COPY NAME report).
  - All case dockets (COPY DOCKET report).
  - All case data (COPY CASE report)

Incoming data	Outgoing data
Query Option (See options above)	COPY NAME report data or COPY DOCKET report data (includes calendar data) or COPY CASE data or .....
Court	
Case Number	
To request a specific participant add:	
• Party/Connection Code	Person Identifier
	Person Name
	Other person data
To request dockets provide one or more of::	
• Docket Code	Docket Entries (0-n):
• Docket Date	• Docket Entry Sequence Number
• Sub-Number	• Docket Date
	• Docket Code
	• Sub-Number
	• Docket Secondary Text
	• Sub-Dockets per Docket Entry (0-7):
	○ Sub-Docket Code
	○ Sub-Docket Text
	○ Secondary Text

Deliverable 2.8. Civil Case Conversion

Business description: cases which were filed in SCOMIS and must be converted to JIS if a protection order or order establishing paternity is issued.

- If a protection order is added to a case which was filed without any identified persons, then specified parties would need to be converted to “IN” persons to add the protection order into ORDA and to note the relationships between the parties. This should also be done if a cause code is changed and this change would require identified persons to be associated with the case.
- Screen Interface: JIS Civil Case Conversion (CIVC) screen.

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Parties to be converted (at least one):	
<ul style="list-style-type: none"> <li>• Party Code</li> </ul>	
<ul style="list-style-type: none"> <li>• Person Identifier (existing “IN” number)</li> </ul>	

Deliverable 2.9. Criminal and Juvenile Offender Case Update

Business description: addition or modification of information to existing criminal and/or juvenile offender case.

- The case identifier and the data to be updated must be supplied.
- Only the data needing to be updated needs to be included.
- The exchange will update the case information.
  - Screen Interface: SCOMIS Change Basic

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Title	
Date Filed	
CLJ Appeal Flag (case type 1)	
Case Notes	

Deliverable 2.10. Civil Case Update

Business description: addition or modification of information to an existing civil case.

- The case identifier and the data to be updated must be supplied.

- Only the data needing to be updated needs to be included.
- The exchange will update the case information.
- Screen Interface:
  - JIS Screen: Civil Case Filing Update (CIV)
  - SCOMIS Screen: Change Basic

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Cause Code	
Title	
Date Filed	
Domestic Violence Flag	
Consolidation Text (0-5 case numbers)	
Case Notes	

Deliverable 2.11. Criminal and Juvenile Offender Case Participants Update

Business description: add, update, or delete a person/participant on an existing criminal or juvenile offender case.

- Add, update or delete a participant on an existing criminal or juvenile offender case.
- The case identifier, and other identifiers associated with the data to be updated must be supplied.
- Only the data needing to be updated needs to be included.
- This does not include updating "IN" person data; refer to the Person Update above.
- The exchange will use the Case Participant Add (CSPA) screen in JIS if the participant is an "IN" person, or will use the SCOMIS Change Names screen if the participant is not an "IN" person.
- Screen Interface:
  - JIS Screens: Case Participant Add (CSPA), Family Relationship Case (FRC)
  - SCOMIS Screen: Change Name, Change Connection

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Case Participant Update Data (0-n)	
<ul style="list-style-type: none"> <li>• Participant Update Type Code (Add, Update, Delete, Change Connection)</li> </ul>	

• Existing Connection Code	
• New Connection Code (if Change Connection)	
• Person Identifier (Add only)	
• Person Name (if not "IN" person)	
• Person Address (if not "IN" person)	
• Family Relationships between parties. This should replace all relationships.	
Representation Update Data (0-n)	
• Attorney Update Type Code (Add, Delete)	
• Party Code	
• Attorney Bar Number	

Deliverable 2.12. Civil Case Participants Update

Business description: add, update, or delete a person/participant on an existing civil case.

- Add, update or delete a participant on an existing civil case (case types 2, 3, 4, 5, 6, 7).
- The case identifier, and other identifiers associated with the data to be updated must be supplied.
- Only the data needing to be updated needs to be included.
- This does not include updating "IN" persons; refer to the Person Update above.
- The exchange will use the Civil Case Update (CIV), and Family Relationship Case (FRC) screens in JIS if the participant is an "IN" person, or will use the SCOMIS Change Name screen if the participant is not an "IN" person.
- Screen Interface:
  - JIS Screens: Civil Case Update (CIV), Family Relationship Case (FRC)
  - SCOMIS Screen: Change Name, Change Connection

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Case Participant Update Data (0-n)	
• Participant Update Type Code (Add, Update, Delete, Change Connection)	
• Existing Connection Code	

• New Connection Code (if Change Connection)	
• Person Identifier (if "IN" person))	
• Person Name (if not "IN" person)	
• Person Address (if not "IN" person)	
• Family Relationships between parties. This should replace all relationships.	
Representation Update Data (0-n)	
• Attorney Update Type Code (Add, Delete)	
• Party Code	
• Attorney Bar Number	

Deliverable 2.13. Docket Update

Business description: allow the entry of updated case information for all case types.

- A case query should be done prior to requesting an update in order to retrieve docket identifiers.
- The case identifier, and other identifiers associated with the data to be updated must be supplied.
- Only the data needing to be updated needs to be included. The exchange will update the case docket.
- The exchange must determine:
  - Which docket entry on the screen should be updated or deleted.
  - Where on the screen a new docket entry should be added (depends on docket date).
- The docket entry sequence number which uniquely identifies the docket entry is not displayed on the screen.
- Screen Interface:
  - SCOMIS Screen: Change Docket

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Docket Update Type Code (Add, Update, Delete)	
Docket Entry Sequence Number	
Docket Date	
Docket Code	
Secondary Text	

Sub-Number	
Sub-Dockets per Docket Entry (0-7):	
• Sub-Docket Update Type Code (Add, Update, Delete)	
• Sub-Docket Code	
• Sub-Docket Text	
• Secondary Text	

Deliverable 2.14. Charge and Sentence Update

Business description: allow the entry of updated charge and sentence information for criminal and juvenile offender cases.

- A case query should be done prior to requesting an update in order to retrieve information and charge identifiers.
- The case identifier, and other identifiers associated with the data to be updated must be supplied.
- Only the data needing to be updated needs to be included. The exchange will update the case charges.
- The exchange must determine:
  - Which information/charges on the screen should be updated or deleted.
  - Where on the screen the new information/charges should be added.
- The information entry sequence number which uniquely identifies the group of charges is not displayed on the screen.
- Screen Interface:
  - SCOMIS Screens: Change Charge, Amend Charge, Change Sentence

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Charge Update Type Code (Add, Amend, Update, Delete)	
• Information Entry Sequence Number	
• Information Text	
• Count	
• RCW Number	
• DV Flag	
• Date of alleged Violation	
• Result Code	
• Result Date	
• Process Control Number (PCN)	
Sentence Text	

Deliverable 2.15. Sealed Status Update

Business description: all case types, regardless of whether the cases are filed in JIS or SCOMIS, are sealed or unsealed in JIS on the Seal Case (SLCS) screen.

- The case identifier must be supplied. The exchange will update the sealed status.
- Screen Interface:
  - JIS Screen: Seal Case (SLCS)

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Seal Case Option (Sealed, Limited Seal, Open)	

Deliverable 2.16. Domestic Violence and Anti-Harassment Protection Orders

- Order Query

Business description: displays all orders recorded for any specified case.

- To obtain a list of orders for a case, supply the case number. The exchange will return all the orders for that case.

Incoming data	Outgoing data
Court	Court
Case Number	Case Number
	Order Data (0-999):
	• Order Sequence Number
	• Date order was filed
	• Judge Initials
	• Order Type Code
	• Order Status Code
	• Decision Date and Time (date when the judicial officer actually signed the order)
	• Order Expiration Date
	• Order Participants:
	○ Person Identifier ("IN" number)
	○ Decision (i.e., p =

	protected, r = restrained)
--	----------------------------

o Order Add

Business description: procedure to add a protection order to an existing case.

- All persons named in the order must already be case participants.
- The exchange will add the case order data.
- Screen Interface:
  - JIS Screen: Order Add (ORDA)

Incoming data	Outgoing data
Case Number	Order Add = successful or failure
Date order was filed	
Judge Initials	
Order Type Code	
Order Status Code	
Decision Date and Time (date when the judicial officer actually signed the order)	
Order Expiration Date	
Order Participants (1 or more):	
• Person Identifier ("IN" number)	
• Decision (i.e., p = protected, r = restrained)	

o Order Update/Delete

Business description: procedure used to update or delete an existing protection order upon expiration or termination of the original order.

- An order query should be done prior to using this exchange in order to retrieve the order sequence number to be updated or deleted.
- Only the data needing to be updated needs to be included.
- All persons named in the order must already be case participants.
- The exchange will update the case order data.
- The exchange must determine which order on the screen should be updated or deleted
- Screen Interface:
  - JIS Screens: Order Update (ORD), Case Order History screen (COH)

Incoming data	Outgoing data
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Case Number	Order Update or Delete = successful or failure
Order Update Type Code (Update, Delete)	
Order Sequence Number	
Date order was filed	
Judge Initials	
Order Type Code	
Order Status Code	
Decision Date and Time (date when the judicial officer actually signed the order)	
Order Expiration Date	
Denial Reason Code	
Order Termination Date	
Order Participants:	
○ Order Participant Update Type Code (Add, Update, Delete)	
○ Person Identifier ("IN" number)	
○ Decision (i.e., p = protected, r = restrained)	

Deliverable 2.17. Case Closure

Business description: entry of codes that are used on the Basic screen in SCOMIS to record the final disposition of the case after all documents have been filed.

- To record resolution and disposition on an existing case, these must be provided with the case identifier. The exchange will update the case.
- Screen Interface:
  - SCOMIS Screen: Change Basic

Incoming data	Outgoing data
Court	Update= successful or failure
Case Number	
Resolution Code	
Resolution Date	
Completion Code	
Completion Date	

Deliverable 2.18. Case Suspension Status Update

Business description: ability to insert, update, or delete a suspended status on a case.

- This exchange is used to insert, update, or delete a suspended status entry.
- Screen Interface:
  - SCOMIS Screens: Change Status, Update Status, Delete Status.

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Status Update Type Code (Add, Update, Delete)	
Begin Date	
End Date	
Status Code	

Deliverable 2.19. Delete Case

Business description: allow deletion of a case which was filed in error.

- This exchange is used to delete a case which was filed in error.
- If the case was initiated in or converted to JIS, the case must be first deleted in JIS and then deleted in SCOMIS. Refer the JIS Online Manual [Delete Cases](#) topic for more information.
- Screen Interface:
  - JIS Screens: Superior Court Case Delete (SCCD), Civil Case Delete (CIVD).
  - SCOMIS Screen: Delete Case.

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	

Deliverable 2.20. Expunge a Case

Business description: allow a case to be expunged if ordered by the court.

- This exchange is used to expunge data from a case. All data for that case, except the case number and title, are expunged from SCOMIS. The filed date will change to 99-99-9999.
- If the case was initiated in or converted to JIS, the party must be first expunged in JIS and then the case expunged in SCOMIS. Refer the JIS Online Manual [Expunge a Party](#) topic for more information.
- Screen Interface:

- JIS Screens: Case Disposition (CSD), Expunge Party (EXP)
- SCOMIS Screen: Expunge Case.

Incoming data	Outgoing data
Court	Update = successful or failure
Case Number	
Party Code (of "IN" person)	

Deliverable 2.21. Add a Judgment Case (case type 9)

Business description: ability to add a judgment case and link it to an originating case.

- Screen Interface:
  - SCOMIS Screens: Add Basic

Incoming data	Outgoing data
Court	Add = successful or failure
Judgment Number	
Originating Case Number	
Title	
Judgment Type Code	
Date Signed	
Judge Type Code	
Judge Name	
Date Filed	
Date Effective	
Note Text	
Participants from original case:	
• Original Case Connection Code	
• Judgment Case Connection Code	
Participants (if no original case):	
• Judgment Case Connection Code	
• First Name	
• Middle Name	
• Surname	
• Attorney link to Judgment Party (used on attorney participants, this is the sequence number of the party they represent)	

Deliverable 2.22. Update a Judgment Case (case type 9)

Business description: addition or modification of information to existing judgment case.

- o Screen Interface:
  - SCOMIS Screens: Change Basic, Change Names

Incoming data	Outgoing data
Court	Add = successful or failure
Judgment Number	
Originating Case Number	
Title	
Judgment Type Code	
Date Signed	
Judge Type Code	
Judge Name	
Date Filed	
Date Effective	
Note Text	
Judgment Status	
Participants from original case:	
• Participant Update Type Code (Add, Update, Delete)	
• Original Case Connection Code	
• Judgment Case Connection Code	
Participants (if no original case):	
• Judgment Case Connection Code	
• First Name	
• Middle Name	
• Surname	
• Attorney link to Judgment Party (used on attorney participants, this is the sequence number of the party they represent)	

**C. Deliverable #3 – Unit/Integration Testing**

Unit testing is conducted by the developer and ensures that developed modules perform the specific functionality for which they were designed.

Integration testing is conducted by testers (other than the developer) to ensure the new modules work and communicate with pre-existing modules in the system.

1. For each data exchange, provide a test plan that identifies what will be tested.
2. For each data exchange, provide a detail test script that identifies how to create a test package and how to submit that package to the AOC data exchange process.

#### **D. Deliverable #4 – Performance Testing**

Performance testing in this case will actually consist of testing response time.

1. For each exchange that is delivered, the elapsed time from when AOC receives a data exchange request until the work for that request is completed must be less than two seconds.

#### **E. Deliverable #5 – Web Portal Documentation**

1. For each data exchange, provide documentation that describes the exchange: its purpose, how to call it, etc. This documentation will reside on the web portal to allow users self-service information for setting up their data exchanges.
2. For each data exchange, provide a test client that will allow users to run a test exchange and see how the programs need to be set up for the exchange to work. This documentation will reside on the web portal to allow users self-service information for setting up their data exchanges.
3. For each data exchange, provide the Web Services Description Language (WSDL) that will inform any user of the requirements for creating the XML package.

### **VIII. Acceptance Criteria**

- Criteria #1: The project plan contains sufficient detail for AOC management to approve: communications plan, risk management plan, schedule.
- Criteria #2: Data persisted by the exchanges is consistent with data entered via the SCOMIS/JIS applications.
- Criteria #3: Data from incoming data exchanges is updated in the database

columns as identified in the Pierce County SCOMIS Data Entry Requirements document (see Appendix D). ??).

- Criteria #4: Data for outgoing data exchanges is properly formatted in XML packages with the correct identifying XML tag applied to each of the data elements.
- Criteria #5: All XML schemas are reviewed by AOC staff and determined to be NIEM compliant.
- Criteria #6: AOC testers approve test plans and test scripts as being sufficient to guide future testers through complete testing.
- Criteria #7: All exchanges that are tested complete within the required two seconds.
- Criteria #8: Web portal description documents for each exchange are specific and detailed and approved by AOC technical staff.
- Criteria #9: Exchange test clients provide code examples for a client module and are approved by AOC technical staff.
- Criteria #10: WSDL's are provided for each exchange and are approved by AOC technical staff.

## **IX. Period of Performance**

The period of performance for this engagement shall begin on March 23, 2009, and shall end on June 30, 2009.

## **X. Cost Proposal**

Vendors are required to submit a cost proposal, based on the instructions, requirements, and worksheets discussed in the following sections:

### **A. Pricing Instructions**

The Vendor must submit information detailing the proposed cost of the project. The AOC reserves the right to review all aspects of the cost proposal for reasonableness and to request clarification of any proposal where the cost component shows significant and unsupported deviation from the Vendor's proposal, industry norms, or in areas where detailed pricing is required.

The AOC reserves the right to offer finalists a chance to submit a best and final offer. Vendors may be asked to propose additional discounts, benefits, cost reductions, or savings that were not previously presented in the Vendor's response. Selected Vendors are not required to submit a

best and final offer and may submit a written response notifying the AOC that their response remains as originally submitted.

The Vendor must submit the cost proposal in a separate section. Vendors may submit additional pricing information as an appendix to their cost proposal.

## **B. Cost Categories**

The Vendor must provide cost proposals using the cost categories outlined below. The Vendor must provide the necessary detail within each cost category as required to properly document their proposed cost. The cost category details shall conform to the technical proposal, as to allow the evaluator a means of cross-walking pricing detail to the service or product being provided.

The Vendor must provide its cost proposal for each data exchange, in order to allow the AOC the ability to complete a comparative analysis of proposals, and to better enable the AOC to evaluate options for phasing in various components of the proposed system.

The cost elements are as follows:

### **1. Professional Services**

- i. The Vendor must complete a pricing worksheet (**Appendix B – Pricing Worksheet**). Prices quoted must remain fixed for the duration of the contract executed as a result of this RFP. Cost proposals must itemize the basis for the pricing of services. Travel expenses must be included in the cost proposals.
- ii. The AOC intends to enter into a Deliverables-Based contract for the Deliverables described in this RFP. The Vendor must propose cost on a per deliverable basis.
- iii. Deliverables must be tied to milestones as described in the Vendor's Proposed Project Plan.

### **2. License / Purchase of Software**

- i. If the purchase of any software is required, provide the purchase cost and any recurring licensing/maintenance costs.

### **3. Installation / Implementation Costs**

- i. Installation and implementation costs must be categorized based on the milestones or tasks accomplished as presented in the Vendor's Proposed Project Plan.
- ii. The Vendor must base its categories on measurable milestones. It is expected that the categories should include such tasks as basic setup, profile and table definitions, system analysis, testing, project management, going live, and troubleshooting.

**4. User Support and Maintenance**

- i. Provide the cost for any required User Support and Maintenance.

**C. Proposed Price**

Vendors should provide a pricing worksheet. If Vendor identifies additional cost categories, include those additional cost categories with the appropriate explanation.

**D. Payment Schedule**

The Vendor must propose a payment schedule. This payment schedule must be linked to milestone deliverables included in the proposed implementation plan. It is expected proposed payments will be commensurate with the products or services provided.

**XI. RFP Administration and Instructions to Vendors**

**A. RFP Coordinator**

Upon release of this RFP, all Vendor communications concerning this acquisition must be directed to the RFP Coordinator listed on page 4 of this document. Unauthorized contact regarding this RFP with other AOC employees may result in disqualification. Contact is considered authorized only if the Vendor is referred to another AOC employee by the RFP Coordinator. Any oral communications will be considered unofficial and non-binding on AOC. Only written statements issued by the RFP Coordinator may be relied upon.

**B. RFP Questions**

Specific questions concerning the RFP must be submitted to the RFP Coordinator by email no later than the listed date in the RFP Schedule. Questions will not be accepted beyond this date. Responses will be posted at <http://www.courts.wa.gov/procure/>. Oral responses given to any questions are to be considered preliminary and non-binding. Only written responses to questions will be considered official.

**C. Proposal Response Date and Location**

The Vendor's Proposal, in its entirety, must be received by the RFP Coordinator in Olympia, Washington, in accordance with the schedule contained on page 4 of this RFP. Vendors assume the risk of the method of dispatch chosen. Responses may be delivered by mail, courier, hand-delivery, or email.

**D. Proposal Format**

Vendors must submit their Proposals electronically. Proposals must be reproducible upon receipt by AOC on standard 8-1/2 by 11 inch paper.

**E. Proposal Requirements and Content**

See Appendix A – Vendor Response Checklist.

**F. Costs of Preparing Proposals**

The AOC will not pay any Vendor costs associated with preparing Proposals submitted in response to this RFP.

**G. Proposals Property of the AOC**

All Proposals, accompanying documentation and other materials submitted in response to this RFP shall become the property of the AOC and will not be returned.

**H. Acceptance of RFP Terms**

A Proposal submitted in response to this RFP shall be considered a binding offer. Acknowledgement of this condition shall be indicated in a letter of submittal (see Appendix A). A Vendor must clearly identify and thoroughly explain any variations between its Proposal and this RFP. Failure to do so shall be deemed a waiver of any rights to subsequently modify the terms of performance, except as outlined or specified in the RFP.

**I. Procurement Schedule**

The Procurement Schedule outlines the tentative schedule for important action dates and times. The AOC reserves the right to revise schedule at any time and will post any amended schedules on the AOC Procurement Web site at <http://www.courts.wa.gov/procure>.

See page 4.

**J. Contract**

The AOC intends to enter into one agreement for the services described in this RFP. For joint proposals, the AOC will contract with the Professional Services Provider, and the Professional Services Provider will enter into a subsequent agreement with the 3<sup>rd</sup> party service provider.

**K. Performance Bond**

The selected Vendor warrants that it possesses, or has arranged through subcontractors, all capital and other equipment, labor, materials, and licenses necessary to carry out and complete the work hereunder in compliance with any and all federal and state laws, and county and local ordinances, regulations, and codes. The successful Vendor must submit a Performance Bond or other suitable security in the amount equal to the total cost proposal amount for the period of the contract award. The cost of this bond, or other suitable security, is the responsibility of the selected Vendor, and is not to be proposed or recoverable as a separate cost item. The Performance Bond or other suitable security shall be delivered to the AOC by the Vendor prior to finalizing the contract.

**L. Insurance (A.K.A. Worker's Compensation)**

The successful Vendor shall maintain in full force and effect, the insurance described in this section. The Vendor shall acquire such insurance from an insurance carrier or carriers licensed to conduct business in the state of Washington and having a rating of A-, Class VII or better, in the most recently published edition of Best Reports. In the event of cancellation, non-renewal, revocation, or other termination of any insurance coverage

required by this Contract, Vendor shall provide written notice of such to the AOC within one (1) business day of Vendor's receipt of such notice. Failure to buy and maintain the required insurance may, at the AOC's sole option, result in this contract's termination.

The minimum acceptable limits shall be as indicated below, with no deductible for each of the following categories:

**1. Commercial General Liability**

Commercial General Liability covering the risks of bodily injury (including death), property damage and personal injury, including coverage for contractual liability, with a limit of not less than \$1 million per occurrence/\$2 million general aggregate;

**2. Business Automobile Liability**

Business Automobile Liability (owned, hired, or non-owned) covering the risks of bodily injury (including death) and property damage, including coverage for contractual liability, with a limit of not less than \$1 million per accident;

**3. Employers Liability**

Employers Liability Insurance covering the risks of Vendor's employees' bodily injury by accident or disease with limits of not less than \$1 million per employee for bodily injury by accident and \$1 million per employee for bodily injury by disease;

**4. Umbrella Policy**

Umbrella Policy providing excess limits over the primary policies in an amount not less than \$3 million;

**5. Professional Liability Errors and Omissions**

Professional Liability Errors and Omissions, with a deductible not to exceed \$25,000 and coverage of not less than \$1 million per occurrence/\$2 million general aggregate; and

**6. Crime Coverage**

Crime Coverage with a deductible not to exceed \$1 million, conditioned and coverage of not less than \$5 million single limit per occurrence and \$10 million in the aggregate, which shall at a minimum cover occurrences falling in the following categories: Computer Fraud; Forger; Money and Securities; and Employee Dishonesty.

**7. Industrial Insurance Coverage**

Prior to performing work under this contract, Vendor shall provide or purchase industrial insurance coverage for its employees, as may be required of an "employer" as defined in Title 51 RCW, and shall maintain full compliance with Title 51 RCW during the course of this Contract. The AOC will not be responsible for payment of industrial

insurance premiums or for any other claim or benefit for Vendor, or any Subcontractor or employee of Vendor, which might arise under the industrial insurance laws during the performance of duties and services under this Contract.

**Note:**

- For Professional Liability Errors and Omissions coverage and Crime Coverage, Vendor shall: (i) continue such coverage for six (6) years beyond the expiration or termination of this contract, naming the AOC as an additional insured and providing the AOC with certificates of insurance on an annual basis; (ii) within thirty (30) days of execution of this contract provide for the AOC's benefit an irrevocable stand-by letter of credit, or other financial assurance acceptable to the AOC, in the amount of \$1 million, during the initial and any subsequent terms of this contract and for six (6) years beyond the expiration or termination of this contract to pay for any premiums to continue such claims-made policies, or available tails, whichever is appropriate, at the AOC's sole option, in the event the Vendor fails to do so. In addition, such irrevocable stand-by letter of credit shall provide for payment of any policy and the Crime Coverage under the same terms and conditions of such policy as though there were no deductible. "Irrevocable stand-by letter of credit," as used in this contract, means a written commitment by a federally insured financial institution to pay all or part of a stated amount of money, until the expiration date of the letter, upon presentation by the AOC (the beneficiary) of a written demand therefore.
- Vendor shall pay premiums on all insurance policies. Such insurance policies shall name the AOC as an additional insured on all general liability, automobile liability, and umbrella policies. Such policies shall reference the contract number as entered into between the Vendor and the AOC and shall have a condition that they not be revoked by the insurer until forty-five (45) calendar days after notice of intended revocation thereof shall be given to the AOC by the insurer.
- All insurance provided by Vendor shall be primary as to any other insurance or self-insurance programs afforded to or maintained by the state and shall include a severability of interest (cross-liability) provision.
- Bidder shall include all subcontractors as insured under all required insurance policies, or shall furnish separate certificates of insurance and endorsements for each subcontractor. Subcontractor(s) shall comply fully with all insurance requirements stated herein. Failure of subcontractor(s) to

comply with insurance requirements does not limit Vendor's liability or responsibility.

- Bidder shall furnish to the AOC copies of certificates of all required insurance within thirty (30) calendar days of Contract's Effective Date, and copies of renewal certificates of all required insurance within thirty (30) calendar days after the renewal date. These certificates of insurance must expressly indicate compliance with each and every insurance requirement specified in this section. Failure to provide evidence of coverage may, at the AOC's sole option, result in this contract's termination.
- By requiring insurance herein, the AOC does not represent that coverage and limits will be adequate to protect Vendor. Such coverage and limits shall not limit Vendor's liability under the indemnities and reimbursements granted to the AOC in this contract.

**M. Contract Amendment**

Additional services that are appropriate to the scope of and related to this RFP, as determined by the AOC, may be added to the resulting contract by a written amendment mutually agreed to and executed by both parties.

**N. RFP Amendments**

The AOC reserves the right, at any time before execution of a contract, to amend all or a portion of this RFP. Amendments will be posted on the AOC Procurement Website. If there is any conflict between amendments, or between an amendment and the RFP, whichever document was issued last in time shall be controlling.

**O. Proprietary Information/Public Disclosure**

Any information contained in the Proposal that is considered proprietary and exempt from disclosure under the Washington State Public Disclosure Act, [chapter 42.56 RCW](#), by the Vendor must be clearly designated. Each page must be identified by the word "confidential" printed in the lower right hand corner of the page and the particular exception from disclosure upon which the Vendor is making the claim shall be referenced below the word "confidential." Marking of the entire Proposal as proprietary will be neither accepted nor honored. If a request is made to view or obtain a copy of a Vendor's Proposal, the AOC will comply with applicable public disclosure requirements. If any information in the Proposal is marked as proprietary, the affected Vendor will be given an opportunity to seek an injunction or restraining order against the requested disclosure.

**P. RFP Amendments/Cancellation/Reissue/Reopen**

The AOC reserves the right to change the RFP Schedule or issue amendments to this RFP at any time. The AOC also reserves the right to cancel or reissue the RFP.

**Q. Minor Administrative Irregularities**

The AOC reserves the right to waive minor administrative irregularities contained in any response.

**R. No Obligation to Enter a Contract**

The release of this RFP does not compel the AOC to enter into any contract.

The AOC reserves the right to refrain from contracting with any Vendor that has responded to this RFP whether or not the Vendor's Proposal has been evaluated and whether or not the Vendor has been determined to be qualified. Exercise of this reserved right does not affect the AOC's right to contract with any other Vendor.

The AOC reserves the right to request an interview with any Vendor who is a prospective contractor prior to entering a contract with that Vendor. If a Vendor declines the request for an interview for any reason, the Vendor will be eliminated from further consideration.

**S. Multiple Contracts**

The AOC reserves the right to enter contracts with more than one Vendor as a result of this RFP.

**T. Advance Payment**

The AOC will not make advanced payment for services being procured under this solicitation. Therefore, the Vendor should anticipate payment at the end rather than the beginning of the invoice period in which it submits any services for which payment is due. Invoices should be submitted no more often than monthly.

**U. Submission of Proposals**

Proposals must be prepared and submitted no later than the proposal submission date and time specified in the Procurement Schedule. The proposal is to be sent to the RFP Coordinator, either by e-mail, mail, or hand-delivery, at the address specified on Page 4 of this RFP.

The Vendor should allow sufficient time to ensure timely receipt by the RFP Coordinator. The Vendor assumes the risk for the method of delivery and for any delay in the mailing or delivery of the Vendor's proposal.

The AOC will disqualify any proposal and withdraw it from consideration if it is received after the proposal submission due date and time. All proposals and any accompanying documentation become the property of the AOC and will not be returned.

**V. Non-responsive Proposals**

All proposals will be reviewed by the RFP Coordinator to determine compliance with the administrative requirements and instructions specified

in this RFP. The AOC may reject or withdraw a proposal at any time as non-responsive for any of the following reasons:

- Incomplete proposal;
- Submission of alternative proposals;
- Failure to meet the Minimum Qualifications as outlined in Section IV of this RFP; and
- Submission of incorrect, misleading, or false information.

## **W. Joint Proposals**

The AOC will enter into one contract for the goods and services being procured under this RFP. If you submit a joint proposal, with one or more other Vendors, you must agree to designate the Professional Services Provider as the prime Vendor. The prime Vendor will be the AOC's sole point of contact, will sign the contract and any amendments, and will bear sole responsibility for performance under the contract.

## **X. Withdrawal of Proposals**

After a Proposal has been submitted, Vendors may withdraw a proposal at any time up to the proposal submission date and time specified in the Procurement Schedule. A written request signed by an authorized representative of the Vendor must be submitted to the RFP Coordinator. After withdrawing a previously submitted proposal, the Vendor may submit another proposal at any time up to the proposal submission date and time.

## **Y. RFP Evaluation**

Responsive proposals will be evaluated strictly in accordance with the requirements stated in this procurement and any amendments issued. The evaluation will be performed in the following phases:

### **1. Phase 1 – Qualification Review**

Each Proposal will first be screened to determine if the Vendor meets the minimum qualifications and complied with the pertinent instructions found in the RFP document. If the Vendor's proposal is incomplete or the response is not organized as requested, the AOC may, at any time, consider your proposal non-responsive and withdraw it from consideration. Proposals that comply with the pertinent instructions and meet the minimum qualifications will move to Phase 2 in the evaluation process.

The RFP Coordinator or designee will review:

- the Minimum Qualifications of the Vendor to provide the required services based on the Vendor's response to Section 4 of the RFP; and
- Appendix A, Section 1 – Submittal Letter.

### **2. Phase 2 – Evaluation**

Proposals from Vendors that meet the Minimum Qualifications in Phase 1 will be evaluated by a panel using criteria specific to each deliverable. Scoring will be weighted according to Section AA.

**3. Phase 3 – Reference Checks**

The panel or its designee(s) will check references and consider past contract performance of Vendors whose Proposal passed Phase 2. References beyond those listed in the Vendor’s Proposal may be contacted and considered.

**Z. RFP Clarification**

As part of the evaluation process, the RFP Coordinator may ask Vendors to clarify specific points in their Proposal. However, under no circumstances will the Vendor be allowed to make changes to the Proposal.

**AA. Scoring of Proposals**

The following weighting will be assigned to the Proposal for evaluation purposes:

**Technical Experience** 40%

**Professional Services**

Consists of evaluating the Vendor’s proposed personnel, company management, project management practices, references, and financial stability. 40%

**Cost Proposal for Phase 1** 20%

**References [top-scoring Proposal(s) only]** Pass/Fail

References will be contacted for the top-scoring Proposal(s) only and will then be scored on a pass/fail basis.

Your sub-total score for the written Proposal will be the average of the scores of the evaluators who review your written Proposal. Your final total Proposal score will be the average points awarded for your written Proposal.

**BB. Post-Evaluation**

**1. Notification of Apparently Successful Vendor(s)**

The Apparently Successful Vendor and the Apparently Unsuccessful Vendors will be notified via email.

**2. Debriefing of Unsuccessful Vendors**

Vendors who submitted responses that were not selected will be given the opportunity for a debriefing conference. A request for a debriefing conference must be received by the RFP Coordinator within three (3) business days after the notification to Unsuccessful Vendors is e-mailed to Vendors. The debriefing must be held within three (3) business days of the request.

Discussion at the debriefing conference will be limited to the following:

1. Evaluation and scoring of your Proposal;
2. Critique of your Proposal based on evaluators' comments; and
3. Review of your final score in comparison with other Vendors' final scores without identifying the Vendors.

### **3. Protest Procedures**

In order to submit a protest under this RFP, a Vendor must have submitted a Proposal for this RFP, and have requested and participated in a debriefing conference. Vendors submitting a protest to this procurement shall follow the procedures described herein or their Proposal shall not be considered. This protest procedure constitutes the sole administrative remedy available to the Vendor under this procurement.

#### **Grounds for Protest**

A protest may be made based on these grounds only:

- Arithmetic errors were made by the AOC in computing the score;
- The AOC failed to follow the procedures established in this RFP document, or to follow applicable state or federal laws or regulations;
- Bias, discrimination, or conflict of interest on the part of the evaluator

Only protests stipulating an issue of fact concerning a matter of bias, discrimination, a conflict of interest, or non-compliance with procedures described in the procurement document shall be considered. Protests not based on procedural matters will be rejected.

#### **Protest Bond**

The Vendor submitting a protest must post a bond in the amount of \$10,000. The bond will be used to cover the cost of processing the protest. Any remaining funds will be returned to the protestor, and if the protest is successful the entire \$10,000 will be returned.

#### **Protest Form and Content**

A protest must state all the facts and arguments upon which the protest is based, the ground for your protest. It must be in writing and signed by a person authorized to bind the Vendor to a contractual relationship. At a minimum, the protest must include:

- The name of the protesting Vendor, mailing address and phone number, and the name of the individual responsible for submission of the protest;
- The RFP number and name of the issuing agency;

- A detailed and complete statement of the specific action(s) by the AOC under protest;
- The grounds for the protest; and
- Description of the relief or corrective action requested.

You may attach to your protest any documentation you offer to support your protest.

### **Submitting a Protest**

The protest must be in writing and must be signed. You must mail or hand-deliver your protest to the RFP Coordinator. Protests may not be submitted by fax or email. The AOC must receive the written protest within five (5) business days after the debriefing conference.

In the event a protest may affect the interest of any other Vendor, such Vendor(s) will be given the opportunity to submit their views and any relevant information on the protest to the RFP Coordinator.

### **Protest Process**

The RFP Coordinator will forward the protest to the AOC-designated Protest Coordinator along with copies of the following:

- This RFP and any amendments,
- The proposal,
- The evaluators' scoring sheets, and
- Any other documentation showing evaluation and scoring or the proposal.

Upon receipt of a protest, a protest review will be held by the AOC to review the procurement process utilized. This is not a review of responses submitted or the evaluation scores received. The review is to ensure that procedures described in the procurement document were followed, all requirements were met, and all Vendors were treated equally and fairly.

The AOC will follow these procedures in reviewing the protest:

- The AOC will conduct an objective review of the protest, based on the contents of the written protest and the above materials provided by the RFP Coordinator.
- The AOC will send the protesting Vendor a written decision within five (5) business days after receiving the protest, unless more time is required to review the protest and make a determination. The protesting Vendor will be notified by the RFP Coordinator if additional time is necessary.

The AOC will make a final determination of your protest and will either:

1. Find that your protest lacks merit and uphold the AOC's actions;

2. Find that any errors in the RFP process or in the AOC's conduct did not influence the outcome of the RFP, and uphold the AOC's actions; or
3. Find merit in the protest and provide options for corrective action by the AOC which may include:
  - That the AOC correct any errors and re-evaluate all proposals affected by its determination of the protest;
  - That the AOC reissue the RFP document; or
  - That the AOC make other findings and take such action as may be appropriate.

Protests shall not be accepted prior to selection of the apparent successful Vendor. Protests must be received within five (5) business days from the date of the notification of the Unsuccessful Vendor's Debriefing Conference. The Administrator or assigned delegate will then consider all the information available to her/him and render a written decision within five (5) business days of receipt of the protest, unless additional time is required. If additional time is required, the protesting party will be notified of the delay.

## **XII. Execution of the Contract**

### **A. Generally**

The Apparently Successful Vendor will be expected to sign a contract with the AOC and any subsequent amendments that may be required to address specific work or services as needed.

The AOC reserves the right to negotiate the specific wording of the Statement of Work, based on the requirements of this RFP and the terms of the proposal.

If the Vendor fails or refuses to sign the contract or any subsequent amendment within five (5) business days of delivery, the AOC may elect to cancel the award and may award the contract to the next highest-ranked finalist.

Any subcontracts necessary to perform the contract shall be subject to the prior written approval of the AOC.

### **B. General Terms and Conditions**

The Vendor selected will be expected to enter into a contract with the AOC which will contain special terms and conditions related to this RFP and general terms and conditions. The Special Terms and Conditions will be based on the services to be provided as described in this RFP. **In no event is a Vendor to submit its own standard contract terms and conditions as a response to this RFP.** The general terms and conditions are attached as Appendix E.

### **C. Criminal Background Check**

As a requirement of the contract, the AOC may complete background investigations of the Vendor and any employee, assistant, agent, or subcontractor of the Vendor completing work under the contract. Such an investigation may include, but not be limited to, fingerprinting and criminal history records checks. The Vendor and will agree to cooperate fully with the AOC in completion of this requirement. Results of the investigation and/or failure of the Vendor and any employee, assistant, agent, or subcontractor of the Vendor completing work under the contract to cooperate fully may be grounds for termination of the contract.

### **D. Confidentiality Agreements**

The Vendor contractor may have access confidential and/or propriety information during the period of performance. Vendor will sign a confidentiality agreement safeguarding such information.

### **E. Workstation and Facility Fees**

AOC will provide workstations for the contract staff each of which shall include a building access key, a telephone and network connection. AOC will charge the CONTRACTOR a workstation fee of \$331 for the first month and \$203 per month thereafter to cover costs for the workstations assigned. This amount shall be invoiced by the CONTRACTOR on a monthly basis as a credit against invoiced charges to AOC.

### **F. Hardware and Software Responsibilities**

The Contractor shall ensure that its representatives have the hardware and software necessary to complete the engagement, unless special circumstances exist where either AOC's hardware or software is needed. Such special circumstances should be noted in the Vendor's proposal. AOC will not supply hardware or software to the Contractor unless specifically agreed to in writing.

## **Appendix A – Vendor Response Checklist**

Responses to the four major sections of the Proposal are to be submitted in the order noted below. The questions in each of the four sections are described below. All questions must be answered, the answers must be numbered to correspond to the appendix numbering, and all items must be included as part of the Proposal for the Proposal to be considered responsive, even though certain items may not be scored.

### **Submittal Letter containing the following information:**

- 1 Vendor Name.
- 2 Contact name, address, telephone number, e-mail address and fax number of Vendor's point of contact.
- 3 Provide a statement that no assistance in preparing the response was received from any current or former employee of the AOC whose duties relate(d) to this RFP, unless such assistance was provided by the county employee in his or her official public capacity and that neither such employee nor any member of his or her immediate family has any financial interest in the outcome of this RFP.
- 4 State whether any of the individuals that will provide services if the Vendor is awarded a contract is a current AOC employee or former AOC employee during the past two years. If true, state the individual's title and termination date.
- 5 If the Vendor has had a contract terminated for cause during the past five (5) years, describe all such incidents, including the other parties' names, addresses, and telephone numbers. Present the Vendor's position on the matter. Termination for cause is defined as notice to stop performance or delivery due to Vendor's non-performance or poor performance, and the issue was either: (a) not litigated; or (b) litigated and such litigation determined the Vendor to be in cause. If the Vendor has had no such terminations for cause in the past five (5) years, so state. Poor contract performance may cause the Vendor to be eliminated from consideration. FAILURE TO DISCLOSE will result in disqualification of the Vendor and, if applicable, may be grounds for termination of any contract entered with the Vendor.
- 6 The Vendor must disclose any and all judgments, pending or expected litigation. If no such condition is known to exist, the Vendor shall warrant as such in a statement.
- 7 Explicit agreement from Vendor to adhere to all terms and conditions expressed herein.
- 8 Provide a statement that the price quoted in Cost Proposal constitutes a firm offer valid for ninety (90) days from the Proposal due date.
- 9 A section detailing how the Vendor meets each of the requirements under the Minimum Qualifications Section of this RFP.

10 Provide the earliest date on which you could begin work. Also include a range of subsequent possible start dates, in the event the AOC is unable to begin on your earliest date. Explain the risks to the AOC associated with these dates, if any.

### **Response to Deliverables**

See RFP Section VII.

### **Cost Proposal**

See Appendix B – Pricing Matrix.

### **References**

Vendor must provide a list of at least three (3) references for which they have delivered products and services of similar size and scope. Include the company names, mailing addresses, contact names, telephone numbers, dates of service, contract value, and a brief description of the similar services you provided for them in the past. Provide references for Professional Services. AOC may contact referenced clients during the evaluation process. Please include other court systems or Washington State agencies if possible.

## Appendix B – Pricing Worksheet

### Project: SCOMIS Data Exchange

<b>COST CATEGORY</b>	<b>ONE TIME COSTS</b>	<b>RECURRING COSTS</b>
Professional Services		
Deliverable 1 – Project Schedule		
Deliverable 2 – Data Exchanges		
• Deliverable 2.1		
• Deliverable 2.2		
• Deliverable 2.3		
• Deliverable 2.4		
• Deliverable 2.5		
• Deliverable 2.6		
• Deliverable 2.7		
• Deliverable 2.8		
• Deliverable 2.9		
• Deliverable 2.10		
• Deliverable 2.11		
• Deliverable 2.12		
• Deliverable 2.13		
• Deliverable 2.14		
• Deliverable 2.15		
• Deliverable 2.16		
• Deliverable 2.17		
• Deliverable 2.18		
• Deliverable 2.19		
• Deliverable 2.20		
• Deliverable 2.21		
• Deliverable 2.22		
Deliverable 3 – Unit/Integration Testing		
Deliverable 4 – Performance Testing		
Deliverable 5 – Web Portal Documentation		
Software Purchases / Licenses		
Installation / Implementation Costs		
User Support and Maintenance		

TOTAL		
GRAND TOTAL		

## Appendix C – Exchange/Methods/Considerations Matrix

Use the following format to respond to the RFP Response Requirement for methods and considerations.

#      Data Exchange                      Completion date  
         Method(s) chosen and why...

         Discussion re considerations...

Example:

2.3    Person Add                              5/5/09  
         Method: Create a new service because...

         Considerations:

- Scope – make comments
- Risk – make comments

2.3    Person Update                            5/9/09  
         Method: Create a new service because...

         Considerations:

- Scope – make comments
- Risk – make comments

2.3    Add or Change Alias Relationship  
         Method: Create a new service because...

         Considerations:

- Scope – make comments
- Risk – make comments

2.4    Criminal / Juvenile Offender Case filing...

## **Appendix D – Pierce County Data Entry Requirements**

See stand alone document.

## **Appendix E – General Terms and Conditions**

See stand alone document.